



Packet No: RYAN 16-2

PTO/SB/96 (08-00)  
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**STATEMENT UNDER 37 CFR 3.73(b)**

FEB -5 2003

TC 2800 MAIL ROOM

Applicant/Patent Owner: Agere Systems Inc.

Application No./Patent No.: 09/604,519

Filed/Issue Date: June 27, 2000

Entitled: AN INTEGRATED CIRCUIT AND A METHOD OF MANUFACTURING AN INTEGRATED CIRCUIT

Agere Systems Inc., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

Address: 555 Union Boulevard, Allentown, PA 18109

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Inventor(s) To: Lucent Technologies Inc.  
The document was recorded in the United States Patent and Trademark Office at Reel 010979, Frame 0909, or for which a copy thereof is attached.
2. From: Lucent Technologies Inc. To: Agere Systems Guardian Corp.  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: Agere Systems Guardian Corp. To: Agere Systems Inc.  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

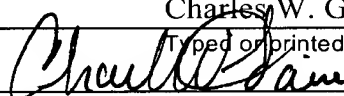
☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

1/24/03  
Date

Charles W. Gaines  
Typed or printed name  
  
Signature  
Attorney for Applicants  
Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SEPTEMBER 26, 2000

DOCKET ADMINISTRATOR  
ANTHONY GRILLO 3C-512  
600 MOUNTAIN AVENUE  
P.O. BOX 636  
MURRAY HILL, NJ 07974-0636



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

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TC 2800 MAIL ROOM



\*101429829A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/27/2000

REEL/FRAME: 010979/0909  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

RYAN, VIVIAN WANDA

DOC DATE: 06/22/2000

ASSIGNOR:

SHILLING, THOMAS HERBERT

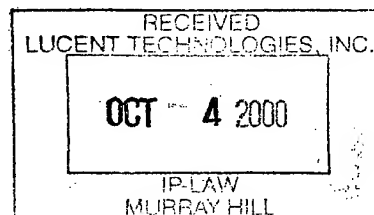
DOC DATE: 06/22/2000

ASSIGNEE:

LUCENT TECHNOLOGIES, INC.  
600 MOUNTAIN AVENUE  
P.O. BOX 636  
MURRAY HILL, NEW JERSEY 07974-0636

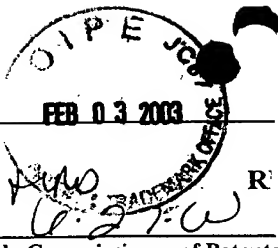
SERIAL NUMBER: 09604519  
PATENT NUMBER:

FILING DATE: 06/27/2000  
ISSUE DATE:



010979/0909 PAGE 2

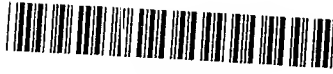
SHARON LATIMER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



08-11-2000

PATENT ONLY

DEPARTMENT OF COMMERCE  
Patent and Trademark Office



ET RECEIVED

101429829

To the Honorable Commissioner of Patents and Trademarks

original documents and copy thereof

10036 U.S. PTO  
09/604519  
06/27/00

1. Name of conveying party(ies):

Vivian Wanda Ryan  
Thomas Herbert Shilling

Additional name(s) of conveying party(ies) attached?

☐ YES ☒ NO

3. Nature of Conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: 06/22/00

2. Name and address of receiving party(ies):

Name: Lucent Technologies Inc.

Internal Address: \_\_\_\_\_

Street Address: 600 Mountain Avenue

P. O. Box 636

City: State: ZIP: Murray Hill, NJ 07974-0636

Additional name(s) & address(es) attached? ☐ YES ☒ NO

09/1604519

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: 06/2700

A. Patent Application Number(s) \_\_\_\_\_ B. Patent Number(s) \_\_\_\_\_

Additional number(s) attached? ☐ YES ☒ NO

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Docket Administrator

Internal Address: 3C-512

Street Address: 600 Mountain Avenue  
P. O. Box 636

City: State: ZIP: Murray Hill, NJ 07974-0636

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number: 12-2325

(Attach duplicate copy of this page if paying by deposit account.)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Anthony Grillo

Name of Person Signing

Signature

Date

6/27/00

Registration. No. 36,535

Total number of pages including cover sheet, attachments, and document: 6

CASE: V. W. Ryan 16-2

Mail documents to be recorded with required cover sheet information to:

Do not detach this portion  
Commissioner of Patents and Trademarks  
Box: Assignments  
Washington, D.C. 20231

08/10/2000 DNGUYEN 00000159 122325 09604519

01 FC:581 40.00 CH

## ASSIGNMENT AND AGREEMENT

For value received, we, Vivian Wanda Ryan, of Washington in the County of Warren and the State of New Jersey, and Thomas Herbert Shilling, of Doylestown in the County of Bucks and the State of Pennsylvania, hereby sell, assign and transfer to Lucent Technologies Inc., a corporation of the State of Delaware, having an office at 600 Mountain Avenue, Murray Hill, New Jersey, 07974-0636, U.S.A. and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to certain inventions related to **An Integrated Circuit And A Method Of Manufacturing An Integrated Circuit** described in an application for Letters Patent of the United States, executed by us of even date herewith, and all the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said inventions; and we also concurrently hereby sell, assign and transfer to Lucent Technologies Inc. the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

We authorize Lucent Technologies Inc. to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

We hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of Lucent Technologies Inc. to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

We request that any and all patents for said inventions be issued to Lucent Technologies Inc. in the United States and in all countries foreign to the United States, or to such nominees as Lucent Technologies Inc. may designate.

We agree that, when requested, we shall, without charge to Lucent Technologies Inc. but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.

Vivian Wanda Ryan  
Vivian Wanda Ryan

Date: 22 June 2000

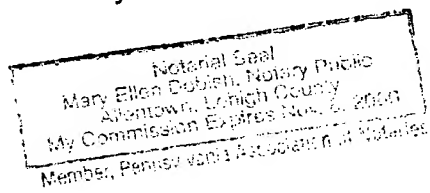
United States of America )

State of Pennsylvania ) ss.:

County of Lehigh )

On this 22 day of June, 2000, before me personally came, Vivian Wanda Ryan to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Mary Ellen Dolish  
Notary Public



Thomas Herbert Shilling  
Thomas Herbert Shilling

Date: 22 JUNE 2000

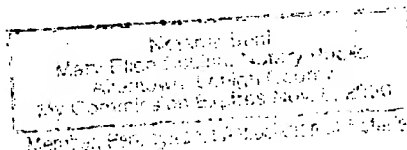
United States of America )

State of Pennsylvania ss.:

County of Lehigh )

On this 22 day of June, 2000, before me personally came, Thomas Herbert Shilling to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Mary Ellen Daish  
Notary Public



Lucent Technologies Inc.  
600 Mountain Avenue (Room 3C-512)  
P. O. Box 636  
Murray Hill, New Jersey 07974-0636

**EXECUTION COPY**

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**PATENT ASSIGNMENT**

**by and between**

**LUCENT TECHNOLOGIES INC.**

**and**

**AGERE SYSTEMS GUARDIAN CORP.**

**Dated as of January 30, 2001**

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## PATENT ASSIGNMENT

THIS PATENT ASSIGNMENT (this "Assignment"), effective as of January 30, 2001 (the "Effective Date"), is by and between Lucent Technologies Inc., a Delaware corporation, with offices at 600 Mountain Avenue, Murray Hill, New Jersey 07974, United States of America, ("ASSIGNOR") and Agere Systems Guardian Corp., a Delaware corporation, with offices at 555 Union Boulevard, Allentown, PA 18109, United States of America ("Agere Systems Guardian").

### RECITALS

A. WHEREAS, the Board of Directors of ASSIGNOR has determined that it is in the best interests of ASSIGNOR and its stockholders to separate ASSIGNOR's existing businesses into two independent businesses;

B. WHEREAS, ASSIGNOR presently owns or controls certain patents, patent applications, and invention submissions listed in the attached Appendices A and B (hereinafter "TRANSFERRED PATENTS") and;

C. WHEREAS, in furtherance of the foregoing separation, ASSIGNOR desires to transfer, assign, convey, deliver and vest all of its interests and rights in TRANSFERRED PATENTS for all countries, jurisdictions and political entities of the world, to and in Agere Systems Guardian;

NOW, THEREFORE, in consideration of the premises and for other good and valid consideration, the receipt and sufficiency of which are hereby acknowledged, the parties, intending to be legally bound, agree as follows:

ASSIGNOR, subject to existing rights and licenses of third parties, does hereby assign, convey, transfer and deliver, and agrees to assign, convey, transfer and deliver to Agere Systems Guardian, its successors, assigns and legal representatives or nominees, ASSIGNOR's entire right, title and interest, for all countries, jurisdictions and political entities of the world, along with the right to sue for past infringement, to all TRANSFERRED PATENTS listed on Appendices A and B, and corresponding counterpart foreign patents and patent applications, with respect to which, and to the extent to which, ASSIGNOR now has or hereafter acquires the right to so assign, convey, transfer and deliver. Agere Systems Guardian recognizes that ASSIGNOR holds only bare legal title to the TRANSFERRED PATENTS listed in Appendix A (which lists the United States Patents and patent applications previously exclusively licensed to Lucent Technologies Microelectronics Guardian Corp.).


ASSIGNOR and ASSIGNEE recognize that the patents listed in Appendices A and B may inadvertently include patents that are owned by various subsidiaries of ASSIGNOR, including Agere, Inc., Ortel Corporation, Optimay Corporation, Herrmann Technology, Inc., and Enable Semiconductor, Inc. Ownership of such patents shall not be affected by this Patent

Assignment, and ASSIGNEE agrees that any such patents shall be deemed deleted from Appendices A and B.

ASSIGNOR agrees that, upon request it will, at any time without charge to Agere Systems Guardian, but at Agere Systems Guardian's expense, furnish all necessary documentation relating to or supporting chain of title, sign all papers, take all rightful oaths, and do all acts which may be necessary, desirable or convenient for vesting title to TRANSFERRED PATENTS in Agere Systems Guardian, its successors, assigns and legal representatives or nominees; including but not limited to any acts which may be necessary, desirable or convenient for claiming said rights and for securing and maintaining patents for said inventions in any and all countries and for vesting title thereto in Agere Systems Guardian and its respective successors, assigns and legal representatives or nominees.

IN WITNESS WHEREOF, the parties have caused this PATENT ASSIGNMENT to be executed by their duly authorized representatives as of the Effective Date.

LUCENT TECHNOLOGIES INC.

By:   
Daniel P. McCurdy  
President, Intellectual Property Business

AGERE SYSTEMS GUARDIAN CORP.

By:   
Fred M. Romano  
President

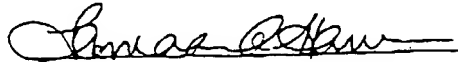
ACKNOWLEDGMENTS

STATE OF NEW JERSEY )

: ss:

COUNTY OF SOMERSET )

I CERTIFY that on January 30, 2001, Daniel P. McCurdy personally came before me and this person acknowledged under oath, to my satisfaction that:  
a.) this person signed, sealed and delivered the attached Patent Assignment as President - Intellectual Property Business of Lucent Technologies Inc.; and  
b.) this Patent Assignment was signed and made by Lucent Technologies Inc. as its voluntary act and deed by virtue of authority from its Board of Directors.



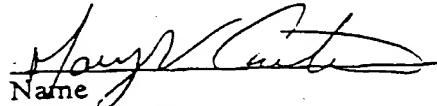
Name TAMORA ANNE HANNA  
Notary Public Notary Public of New Jersey  
My Commission Expires ~~March 25, 2002~~ Registered in Hunterdon County  
[Notarial Seal] My Commission Expires March 25, 2002

STATE OF FLORIDA )

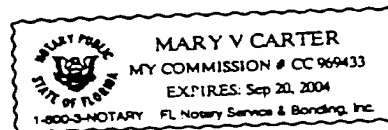
: ss:

COUNTY OF ORANGE )

I CERTIFY that on January 31, 2001, Fred M. Romano personally came before me and this person acknowledged under oath, to my satisfaction that:  
a.) this person signed, sealed and delivered the attached Patent Assignment as Vice President of Agere Systems Guardian Corp.; and  
b.) this Patent Assignment was signed and made by Agere Systems Guardian Corp. as its voluntary act and deed by virtue of authority from its Board of Directors.



Name  
Notary Public  
My Commission Expires:  
[Notarial Seal]



APPENDIX B (continued)  
Transferred Patents

Case Name	Filing Date	Issue Date	Patent No.	Serial No.
Reynick 1	4/25/2000			09/558130
Rhodes 1-6-16	9/8/1998		09/131440	
Rhodes 3	12/19/1997		08/995269	
Rhodes 4-19	3/19/1998		09/044529	
Riazi 5-13-5	12/16/1999			09/464831
Riazi 6-14-6	12/16/1999			09/464574
Ribble 3	12/24/1998			09/220461
Rittenhouse 3-1	2/4/2000			09/497860
Rodriguez 3-1	7/30/1998		09/126985	
Rohani 1	1/24/2000			09/490432
Rosamilia 8-4	3/10/2000			09/523331
Roy 162-28	8/30/2000		09/651451	
Roy 163-29	8/30/2000		09/651857	
Roychowdhury 6	9/1/1998		09/144799	
Rupp 3	2/27/1998		09/032425	
Rupp 6	9/22/1998		09/158587	
Ryan 12	10/1/1999			09/410686
Ryan 15-1	6/27/2000			09/603717
Ryan 16-2	6/27/2000			09/604519
Sadowski 1-1-8	8/20/1999			09/378248
Sayed 4-22	12/24/1998			09/220722
Sayiner 2-22	12/15/1997		08/991092	
Sayiner 3-23	2/10/1998		09/021328	
Sayiner 4-24	2/10/1998		09/021327	
Sayiner 5	4/30/1998		09/069822	
Schadt 1	9/21/1999			09/400029
Schrope 2	9/23/1991		07/764011	
Schuller 1-4	7/16/1999			09/354232
Schuller 3	10/19/1999			09/420645
Schuller 5	6/2/2000			09/586069
Seetharaman 1	11/26/1997		08/979523	
Shaffer 2-1-9-7	12/13/1999			09/459848
Shaffer 4-3-12-10	12/13/1999			09/459831
Shaffer 5-4-13-11	12/13/1999			09/459439
Shahid 50	10/28/1999			09/430397
Shao 1-10-3	12/17/1999			09/464811
Shao 2-15-11	11/30/1999			09/451053
Shibib 12	12/30/1994		08/366691	
Shibib 20	12/30/1997		09/000930	
Shibib 21	4/29/1998		09/069215	
Shibib 26	8/27/1999			09/384769
Shoei 4-4	3/9/1999			09/264727
Shofner 1	10/7/1999			09/414221
Shoham 17	8/31/2000		09/652931	
Shoji 48	1/21/1999			09/235007
Shoji 49	3/8/1999			09/264070
Shoji 50	3/24/2000			09/534189
Shoval 2	3/11/1998		09/038423	
Shulman 10	2/10/2000			09/501752
Shulman 4	10/10/1997	5/9/2000	6060935	
Shulman 5	6/30/1998		09/107480	
Shulman 6	7/20/1998	5/30/2000	6069532	
Shulman 7	4/23/1999	5/16/2000	6064258	09/299237
Shulman 8	4/23/1999			09/299142
Shulman 9	6/30/1999			09/345059
Simanapalli 9	11/20/1997	6/27/2000	6081921	
Sindalovsky 11	3/21/2000			09/531368
Sindalovsky 7	2/1/1999			09/241073
Singhal 1-1	4/12/1999			09/291157
Singhal 2-2	4/12/1999			09/290321

CERTIFICATE OF OWNERSHIP AND MERGER

OF

Agere Systems Guardian Corp.  
(a Delaware corporation)

INTO

Agere Systems Inc.  
(a Delaware corporation)

UNDER SECTION 253 OF THE GENERAL  
CORPORATION LAW OF THE STATE OF DELAWARE

Agere Systems Inc., a corporation organized and existing under the laws of Delaware ("Corporation"), DOES HEREBY CERTIFY:

FIRST: The Corporation is the owner of all of the outstanding shares of common stock of Agere Systems Guardian Corp., which is also a business corporation of the State of Delaware.

SECOND: On August 22, 2002 the Subsidiary Governance Committee of the Board of Directors of the Corporation adopted the following resolution to merge Agere Systems Guardian Corp. into the Corporation:

RESOLVED that Agere Systems Guardian Corp., a Delaware corporation, shall be merged with and into Agere Systems Inc., a Delaware corporation, with Agere Systems Inc. being the surviving corporation, and Agere Systems Inc. shall thereupon assume all of the obligations of Agere Systems Guardian Corp."

THIRD: That the merger authorized hereby shall become effective as of 9:00 a.m. Eastern Standard Time on August 31, 2002.

Executed on August 22, 2002

AGERE SYSTEMS INC.

By Paul Bento  
Paul Bento, Vice President

# Delaware

PAGE 1

*The First State*

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF OWNERSHIP, WHICH MERGES:

"AGERE SYSTEMS GUARDIAN CORP.", A DELAWARE CORPORATION,  
WITH AND INTO "AGERE SYSTEMS INC." UNDER THE NAME OF "AGERE SYSTEMS INC.", A CORPORATION ORGANIZED AND EXISTING UNDER THE LAWS OF THE STATE OF DELAWARE, AS RECEIVED AND FILED IN THIS OFFICE THE TWENTY-NINTH DAY OF AUGUST, A.D. 2002, AT 9 O'CLOCK A.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF THE AFORESAID CERTIFICATE OF OWNERSHIP IS THE THIRTY-FIRST DAY OF AUGUST, A.D. 2002.

A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.



*Harriet Smith Windsor*

Harriet Smith Windsor, Secretary of State

3268412 8100M

AUTHENTICATION: 1959517

020545223

DATE: 08-29-02